

Exhibit 300: Capital Asset Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview & Summary Information

Date Investment First Submitted: 2009-06-30
Date of Last Change to Activities: 2011-10-27
Investment Auto Submission Date: 2012-02-15
Date of Last Investment Detail Update: 2012-02-15
Date of Last Exhibit 300A Update: 2012-02-15
Date of Last Revision: 2012-02-15

Agency: 012 - Department of Labor **Bureau:** 12 - Pension Benefit Guaranty Corporation

Investment Part Code: 01

Investment Category: 00 - Agency Investments

1. Name of this Investment: PBGC - Risk Management Early Warning / Legal Matter Management

2. Unique Investment Identifier (Ull): 012-000005004

Section B: Investment Detail

- 1. Provide a brief summary of the investment, including a brief description of the related benefit to the mission delivery and management support areas, and the primary beneficiary(ies) of the investment. Include an explanation of any dependencies between this investment and other investments.**

Risk Management and Early Warning (RMEW) is an integration of two systems: TeamConnect (TC) and Document Management System (DMS). RMEW, deployed in November 2009, is a case management system that has enabled the Department of Insurance Supervision and Compliance (DISC) and the Office of the Chief Counsel (OCC) to increase data quality, provide more efficient document management capability and implement an automated workflow. The system is in daily use in DISC and OCC and provides the basic functionality to scan and upload documents, manage cases using workflow, and provide report capabilities. Since the initial deployment, there has been an ongoing effort to identify areas where modifications to the basic system would provide a solution with increased capability. The main areas that have been identified as enhancement opportunities are those that will provide improved system flexibility, enhanced case tracking, metrics development, and management reporting, and increased automation of departmental workflows throughout the system. Over 200 enhancement requests and system maintenance activities have been identified and will be addressed over the upcoming 3 year period. Upgrading the TeamConnect version from 3.0 to the most current version will provide the ability to more heavily use templates for lien and termination processing, allow global searches across all objects, fix workflow defects, allow for advanced Key Events searches, and fix a core product defect with dates and timestamps. There is also a requirement to create new workflows and

rules, update interfaces for the multiemployer program, improve data security, and enhance reporting capabilities.

2. How does this investment close in part or in whole any identified performance gap in support of the mission delivery and management support areas? Include an assessment of the program impact if this investment isn't fully funded.

The investment is in the process of closing the identified performance gaps in support of PBGC's Strategic Goal1 and Strategic Goal 2. The performance gaps being addressed include 1) Enhancements to reporting to allow for easier ad hoc reporting; 2) Enhanced searching capability; 3) Enhancements to business rules and workflows to provide additional automation; 4) Enhancements to Lien processing ; 5) Addition of Multiemployer plans for monitoring and 6) Additional automation of manual processes such as the Early Warning Program (EWP), Recovery Valuation and the 4062(e). The program impact should the investment not be funded is in the areas of 1) Risk Mitigation – without the investment there is a possibility that 10% of the 4062 (e) settlements would be missed resulting in an annual opportunity cost of approximately \$25M per year; 2) Recovery Maximization – without the investment approximately 5 -10% of annual recoveries could be missed resulting in an increase of the annual deficit of approximately \$5M per year; 3) Operational Efficiencies - without the system approximately 10% more would need to be spent on FTEs to process the same work manually which would result in an additional \$1M a year in FTE costs. An Integrated Project Team Charter is completed for each release to identify members specific to the release that is planned. There is an Executive Steering Committee that is over the Investment.

3. Provide a list of this investment's accomplishments in the prior year (PY), including projects or useful components/project segments completed, new functionality added, or operational efficiency achieved.

RMEW completed two major releases; RMEW 1.3 and RMEW 1.4 in the PY. These releases included new reports and updates to existing reports, enhancements to assignment and document notifications, enhancements to searching and views, new workflows and business rules and updates to existing business rules and workflows, updates to system interfaces, automation of several manual processes, enhancements in document management and enhancements to system performance.

4. Provide a list of planned accomplishments for current year (CY) and budget year (BY).

There will be two DME releases in CY and 1 Maintenance release. For BY the current plan is to complete 2 smaller releases and bring the investment to Steady State during the BY. For CY the maintenance release will upgrade the underlying software (TeamConnect) from 3.0 to either 3.2 or 3.3. Analysis is currently underway to determine the optimal upgrade path for TeamConnect. The DME release will continue to address identified performance gaps in lien processing, multiemployer processing, 4062 (e) processing and other areas that have been identified.

5. Provide the date of the Charter establishing the required Integrated Program Team

(IPT) for this investment. An IPT must always include, but is not limited to: a qualified fully-dedicated IT program manager, a contract specialist, an information technology specialist, a security specialist and a business process owner before OMB will approve this program investment budget. IT Program Manager, Business Process Owner and Contract Specialist must be Government Employees.

2011-06-22

Section C: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.C.1 Summary of Funding

	PY-1 & Prior	PY 2011	CY 2012	BY 2013
Planning Costs:	\$0.2	\$0.2	\$0.2	\$0.2
DME (Excluding Planning) Costs:	\$1.4	\$2.2	\$0.2	\$0.2
DME (Including Planning) Govt. FTEs:	\$0.1	\$0.1	\$0.1	\$0.1
Sub-Total DME (Including Govt. FTE):	\$1.7	\$2.5	\$0.5	\$0.5
O & M Costs:	\$0.5	\$1.0	\$0.6	\$0.6
O & M Govt. FTEs:	\$0.1	\$0.1	\$0.1	\$0.1
Sub-Total O & M Costs (Including Govt. FTE):	\$0.6	\$1.1	\$0.7	\$0.7
Total Cost (Including Govt. FTE):	\$2.3	\$3.6	\$1.2	\$1.2
Total Govt. FTE costs:	\$0.2	\$0.2	\$0.2	\$0.2
# of FTE rep by costs:	1	1	1	1
Total change from prior year final President's Budget (\$)		\$-0.2	\$0.0	
Total change from prior year final President's Budget (%)		-6.30%	0.00%	

2. If the funding levels have changed from the FY 2012 President's Budget request for PY or CY, briefly explain those changes:

IPO can implement performance gap changes with 2011 funds. If that expenditure is approved there will be no change for 2013. In the first 20 months after RMEW went live in 2009, IPO added new activities (such as the contingency list preparation and recovery valuation function) to our workload. These new functions were unanticipated at the time of the original RMEW budget formulation in 2005. Addressing those needs caused RMEW to postpone other significant enhancements which are needed now.

Section D: Acquisition/Contract Strategy (All Capital Assets)

Table I.D.1 Contracts and Acquisition Strategy

Contract Type	EVM Required	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	IDV Agency ID	Solicitation ID	Ultimate Contract Value (\$M)	Type	PBSA ?	Effective Date	Actual or Expected End Date
Awarded		PBGC01DO109009	PBGC01D090004	1665							
Awarded		PBGC01DO119043	PBGC01D090004	1665							

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

Exhibit 300B: Performance Measurement Report

Section A: General Information

Date of Last Change to Activities: 2011-10-27

Section B: Project Execution Data

Table II.B.1 Projects

Project ID	Project Name	Project Description	Project Start Date	Project Completion Date	Project Lifecycle Cost (\$M)
RMEW	Risk Management Early Warning / Legal Matter Management	Risk Management and Early Warning (RMEW) is a case management system used by the Insurance Program Office. Future deliverables include new Ad Hoc reports, case management screen views, additional document management capabilities, and search features.			

Activity Summary

Roll-up of Information Provided in Lowest Level Child Activities

Project ID	Name	Total Cost of Project Activities (\$M)	End Point Schedule Variance (in days)	End Point Schedule Variance (%)	Cost Variance (\$M)	Cost Variance (%)	Total Planned Cost (\$M)	Count of Activities
RMEW	Risk Management Early Warning / Legal Matter Management							

Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
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Key Deliverables

Project Name	Activity Name	Description	Planned Completion Date	Projected Completion Date	Actual Completion Date	Duration (in days)	Schedule Variance (in days)	Schedule Variance (%)
RMEW	RMEW - TC & Adlib Analysis	Analysis and reporting of the activities required to upgrade TeamConnect from Version 3.0 to 3.2 or 3.3 and to upgrade Adlib to the most current version.	2011-09-30	2011-09-30		51	-336	-658.82%

Section C: Operational Data

Table II.C.1 Performance Metrics

Metric Description	Unit of Measure	FEA Performance Measurement Category Mapping	Measurement Condition	Baseline	Target for PY	Actual for PY	Target for CY	Reporting Frequency
Number of automated reports to collect and aggregate data automatically rather than manually	Number of Reports	Technology - Efficiency	Over target	25.000000	35.000000		40.000000	Monthly
Number of days to process liens. Automated workflows will enable liens to be perfected more quickly	Number of Days	Process and Activities - Cycle Time and Timeliness	Under target	88.000000	86.000000		80.000000	Semi-Annual
Number of automated system controls instituted to ensure more accurate financial statement classifications and internal controls	Number of Controls	Mission and Business Results - Support Delivery of Services	Over target	5.000000	8.000000		9.000000	Semi-Annual
Number of days to process plans for termination. Automated workflows will enable plans to be processed for termination more quickly	Number of Days	Customer Results - Timeliness and Responsiveness	Under target	55.000000	52.000000		50.000000	Semi-Annual
Number of Documents that do not complete the scanning and OCR process successfully.	Number of Documents	Technology - Quality Assurance	Under target	15.000000	10.000000		5.000000	Semi-Annual